DCIPS Performance Management Rating Guidance for Supervisors - Overview

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Agenda

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- Components of the Rating Process
- Rating Performance Objectives
- Rating Performance Elements
- Addressing “Unacceptable” Performance
- Determining the Recommended Overall Evaluation of Record
- Additional Items to Keep in Mind
- Contact Information

Components of the Rating Process

Performance objectives and performance elements are weighted on a 60/40 split in the determination of the overall evaluation of record

Performance Objectives (60%)	Performance Elements (40%)
What results were achieved	*How* results were achieved
Usually three to six	Six standard
General standard descriptors	Performance standards descriptors
Rating Scale: 1 through 5	Rating Scale: 1 through 5

Rating Performance Objectives

- Review the following documents to determine the rating for each performance objective:
  - General standards
  - Employee Self-Report of Accomplishments
  - Notes you have taken throughout the appraisal cycle on the employee's accomplishments or issues
  - Your performance evaluation on the employee
- Recognize any bias tendencies and take steps to compensate for them
  - Refer to the back-up slides to learn about common rating errors and ways to avoid making the errors

Rating Performance Objectives

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- Don’t make quick guesses regarding an employee’s performance
- Rate employees based on observed facts, not abstract conclusions or assumptions based on personality
- Revisit any feedback you provided to the employee to determine if the employee has acted on it
- Once you decide on a rating, enter it into the Performance Appraisal Application (PAA) Tool
  - PAA Tool will calculate the average for all individual performance objective ratings and round the rating to two decimal places

Levels of Performance for Performance Objectives

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Level	Rating	Description
Outstanding	4.6 to 5.0	Employee far exceeded expected results, such that organizational goals were achieved that otherwise would not have been.
Excellent	3.6 to 4.5	Employee surpassed expected results in a substantial manner.
Successful	2.6 to 3.5	Employee achieved the expected results.
Minimally Successful	2.0 to 2.5	Employee only partially achieved expected results.
Unacceptable	Less than 2.0 on any objective	Employee failed to achieve expected results in one or more assigned performance objectives.
NR		Employee did not have an opportunity to perform the objective because it became obsolete or could not be accomplished due to extenuating circumstances. [Not used for overall summary rating]

Rating Performance Elements

- Performance elements are evaluated using descriptors appropriate for the employee's career category and work level
- Descriptors are provided at the "Successful" and "Outstanding" performance levels for each performance element*

Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	**Leadership and Integrity**
Technical Expertise	**Managerial Proficiency**

*Refer to the IC Performance Standards which can be found on the Army DCIPS website

Rating Performance Elements

- Review the following documents to determine the rating for each performance element
  - IC Performance Standards
  - Employee Self-Report of Accomplishments
  - Notes you have taken throughout the appraisal cycle on the employee's accomplishments or issues
  - Your performance evaluation on the employee
- Follow the same steps you took to determine the ratings for the performance objectives
- Once you decide on a rating, enter it into the PAA Tool
  - PAA Tool will calculate the average for all the individual performance elements ratings and round the rating to two decimal places

Levels of Performance for Performance Elements

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Level	Rating	Description
Outstanding	4.6 to 5.0	The employee consistently performed all key behaviors at an exemplary level on the element.
Excellent	3.6 to 4.5	The employee demonstrated mastery-level performance of the key behaviors on the element.
Successful	2.6 to 3.5	The employee fully demonstrated effective, capable performance of key behaviors for the performance element.
Minimally Successful	2.0 to 2.5	The employee's performance requires improvement on one or more of the key behaviors for the objective.
Unacceptable	Less than 2.0	The employee failed to adequately demonstrate key behaviors for the performance element.

Addressing Unacceptable Performance

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- As soon as performance issues or deficiencies are identified, management should contact Civilian Personnel Advisory Center Management Employee Relations (CPAC MER) for guidance which may include instituting a formal process such as placing an employee on a Performance Improvement Plan (PIP)
- Before giving an employee an “Unacceptable” rating, you must have provided the employee the opportunity to improve with the PIP at least 60-90 days before the final rating. The PIP identifies the:
  - Performance objective(s) and/or performance element(s) that are being performed in an unacceptable manner
  - Actions needed to be taken to meet the objective(s) and/or element(s)
  - Assistance that will be provided
  - Consequences for failing to improve during the PIP period of 60-90 days

Addressing Unacceptable Performance

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- Utilize the Performance Problem Analysis Tool below to help assess and resolve performance issues

Source	Physical	Emotional	Intellectual
Personnel	Does the employee have the ability to perform the requirements?	Does the employee care about the work being performed?	Does the employee have the adequate skills and knowledge to perform the task?
Environment	Is the employee missing any resources?	Does the employee view the incentives system as fair?	Have you communicated all procedures to the employee?
Information	Are task requirements clearly defined?	Does the employee understand the relationship between her/his performance and the mission of the organization?	Is the information flowing to the employee in a timely and/or effective manner?

Determining the Recommended Overall Rating of Record

- PAA Tool will calculate 60% of the overall performance objectives rating and 40% of the performance elements rating in calculating the overall evaluation of record
- PAA Tool will round overall the result as shown below

Rating Range	Rating of Record Descriptor
4.6 to 5.0	Outstanding
3.6 to 4.5	Excellent
2.6 to 3.5	Successful
2.0 to 2.5	Minimally Successful
Less than 2	Unacceptable

Calculating the Rating: An Example

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Performance Objectives (WHAT)	Performance Objective Rating	Performance Elements (HOW)	Performance Element Rating
A	4	Accountable for Results	5
B	3	Communication	4
C	3	Critical Thinking	4
	Objective Rating Equals (4+3+3)/3 = 3.33 X .60 = 1.99	Engagement and Collaboration	3
		Leadership and Integrity	3
		Managerial Proficiency	4
			Element Rating (5+4+4+3+3+4)/6 = 3.83 X .40 = 1.53
Final Rating of Record		**3 (Successful)** (1.99+1.53)	

Additional Items to Keep in Mind

- If an employee receives a rating of less than 2 on any performance objective, the performance elements are not applied. The recommended overall evaluation of record is a rating of 1, “Unacceptable.”
- The Reviewing Official and the Performance Management Performance Review Authority (PM PRA) need to validate and approve the employee’s Rating of Record before you can discuss it with your employee
- Refer to the DCIPS website for more detailed information on the entire DCIPS performance management process http://www.dami.army.pentagon.mil/site/dcips/I

Contact Us

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DCIPS Website

- **NIPRnet: http://www.dami.army.pentagon.mil/site/dcips/**
- **SIPRnet: http://www.dami.army.smil.mil/site/dcips**
- **JWICS: http://www.dami.ic.gov/site/dcips**

Back-Up Slides

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Common Rating Errors

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Common Rating Errors	How to Avoid the Error
Halo—ratings based on a global impression (either positive or negative) of the individual rather than on an individual's performance relative to each performance objective/element.	Evaluate performance on each objective/element independently from other objectives/elements.
Primacy—ratings based only on positive or negative performance early in the performance cycle rather than on performance exhibited throughout the cycle. **Regency**—ratings based only on positive or negative performance toward the end of the performance cycle rather than on performance exhibited throughout the cycle.	Try keeping notes on individual's performance throughout the cycle so that you can recall a particular individual's full performance more easily at the end of the cycle.
Overemphasis on positive or negative performance—relying too heavily on either the positive or negative aspects of an individual's performance when assigning ratings rather than considering both aspects equally.	Because all of an individual's actions on the job are important, be sure to consider both positive and negative performance from the entire performance cycle.

Common Rating Errors

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Common Rating Errors	How to Avoid the Error
Similar/different from me—assigning higher or lower ratings for an individual based on certain qualities or characteristics of him/her that are similar or to or different from the rater.	Make a conscious effort to ignore any similarities or differences you may have with particular individuals.
Stereotyping—basing ratings of an individual on his/her group membership (e.g., ethnicity, gender, religion) rather than on his/her performance.	Be aware of the stereotypes that you hold about different groups, and make a conscious effort to ignore these stereotypes when assigning performance ratings.
Contrast—basing ratings of an individual on a comparison of that individual to others previously rated rather than on the performance objectives/elements.	Interpret and apply performance objectives/elements specifically and consistently to ensure that differences in ratings reflect difference in performance.

Common Rating Errors

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Common Rating Errors	How to Avoid the Error
Central tendency—giving average ratings to all individuals, despite differences in their performance. **Severity—**giving low ratings to all individuals, despite differences in their performance. **Leniency—**giving high ratings to all individuals, despite differences in their performance.	Since the purpose of conducting performance appraisals is to accurately reflect and differentiate an individual's performance through ratings, you should strive to provide fair and accurate ratings.